

Sheet 1 of 2

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17146-005001	Application No. 10/826,949
	Applicant Stephen K. Pinto et al.		
	Filing Date April 16, 2004	Group Art Unit 2123	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/TG/	AA	6,430,539	08/06/2002	Lazarus et al.	—	—	
/TG/	AB	6,879,971	04/12/2005	Keeler et al.	—	—	
/TG/	AC	6,954,758	10/11/2005	O'Flaherty	—	—	
/TG/	AD	7,043,461	05/09/2006	Kedher et al.	—	—	
/TG/	AE	7,047,251	05/16/2006	Reed et al.	—	—	
/TG/	AF	2005/0096950	05/2005	Caplan et al.	—	—	
/TG/	AG	2003/0004777	01/2003	Phillips	—	—	
/TG/	AH	5,621,812	04/1997	Deaton et al.	—	—	
/TG/	AI	5,592,560	01/1997	Deaton et al.	—	—	
/TG/	AJ	5,583,763	12/1996	Atcheson et al.	—	—	
	AK						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
/TG/	✓ AL	WO 02/19061	07/03/2002	WIPO	—	—		
/TG/	✓ AM	WO 03/005232	16/01/2003	WIPO	—	—		
/TG/	✓ AN	PCT/US05/11749	11/2/2006	Copy of PCT ISR	—	—		
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
/TG/	✓ AQ	Harrison, H.C., "An Intelligent Business Forecasting System," ACM May 1993, pp. 229-236.
/TG/	✓ AR	Haughton et al., "A Review of Software Packages for Data Mining," The American Statistician, November 2003, Vol. 57, No. 5, pp. 290-309.
/TG/	✓ AS	Angus, Enterprise Miner 5.1 Digs Into Data, InforWorld, August 9, 2004, Vol. 26, No. 32, pp. 22-23.
/TG/	✓ AT	Chapman et al., CRISP-DM 1.0 Step-by-Step Data Mining Guide, August 2000, pp. 27-31, 53-59, 71-79.

Examiner Signature /Tejal Gami/	Date Considered 03/15/2007
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Substitute Disclosure Form (PTO-1449)

Sheet 2 of 2

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/TG/	✓ AU	Cabena et al., Intelligent Miner for Data Applications Guide, IBM Redbook, SG24-5252-00, March 1999, pp. 9-17, 27-35, 69-77, 87-108, 111-128.
/TG/	✓ AV	Schikora et al., Efficacy of End-User Neural Network and Data Mining Software for Predicting Complex System Performance, International Journal of Production Economics, Vol. 84, pp. 231-53, June 2003.
/TG/	✓ AW	Bhattacharyya, Evolutionary Algorithms in Data Mining: Multi-Objective Performance Modeling for Direct Marketing, Proceedings of the Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, pp. 465-73, Aug. 2000.
/TG/	✓ AX	Pearce et al., Experimentation and Self Learning in Continuous Database Marketing, IEEE International Conference on Data Mining, pp. 775-8, December 2002.
/TG/	✓ AY	Etzion et al., e-CLV: A Modeling Approach for Customer Lifetime Evaluation In e-Commerce Domains, With an Application and Case Study for Online Auctions, IEEE International Conference on e-Technology, e-Commerce and e-Service, pp. 149-56, March 2004.

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U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/TG/	AA	6,956,941	10/18/2005	Duncan et al.	379	265.01	
/TG/	AB	6,859,529	2/22/2005	Duncan et al.	279	266.1	
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

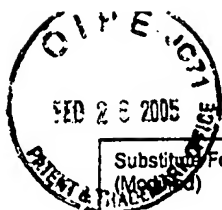
Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
/TG/	✓ AL	2,241,119	2002/03/07	Canada	—	—		
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

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	AQ	
	AR	
	AS	
	AT	

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U.S. Patent Documents							
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/TG/	AA	5,692,107	11/25/1997	Simoudis et al.	—	—	
/TG/	AB	5,826,250	10/20/1998	Trefler	—	—	
/TG/	AC	6,185,543	02/06/2001	Galperin et al.	—	—	
/TG/	AD	6,269,325	07/31/2001	Lee et al.	—	—	
/TG/	AE	6,317,752	11/13/2001	Lee et al.	—	—	
/TG/	AF	6,640,215	10/28/2003	Galperin et al.	—	—	
/TG/	AG	6,542,894	04/01/2003	Lee et al.	—	—	
/TG/	AH	6,631,360	10/07/2003	Cook	—	—	
/TG/	AI	6,782,390	08/24/2004	Lee et al.	—	—	
/TG/	AJ	2002/0052836	05/02/2002	Galperin et al.	—	—	
/TG/	AK	2003/0018601	01/23/2003	Lee et al.	—	—	
	AL						

Foreign Patent Documents or Published Foreign Patent Applications								
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							Yes	No
/TG/	✓ AM	WO 99/22328	05/06/1999	WIPO	—	—		
	AN							
	AO							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
/TG/	✓ AP	Commercial software: SPSS Clementine. www.spss.com/Clementine/index.htm
/TG/	✓ AQ	"On-line Seminar: How to keep customers and increase profits using predictive analytics powered by Clementine", www.spss.com/psbi/directresponse/clementinewebinar/index.cfm?code=d4183
/TG/	✓ AR	"SAS Enterprise Miner", www.sas.com/technologies/analytics/datamining/miner
/TG/	✓ AS	SAS JMP. www.imb.com
/TG/	✓ AT	Clifford C. Clogg, et al., "Multiple Imputation of Industry and Occupation Codes in Census Public-Use Samples Using Bayesian Logistic Regression", <i>Journal of the American Statistical Association</i> , Vol. 86, No. 413, pp. 68-78 (March 1991)

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/TG/	/ BA	Roderick J.A. Little et al., <u>Statistical Analysis with Missing Data (2nd Edition)</u> , John J. Wiley & Sons, Inc., (2002), pp. 19-22; 166-188; and 292-309.
/TG/	/ BB	Donald B. Rubin, "Using Empirical Bayes Techniques in the Law School Validity Studies", <u>Journal of the American Statistical Association</u> , Vol. 75, No. 372, pp. 801-816 (December 1980)
	BC	
	BD	

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